

# Case Management Services

**curriculum**

supportive housing training series



CORPORATION for SUPPORTIVE HOUSING



Center for Urban Community Services, Inc.

# Case Management Services

## Curriculum

Developed by Center for Urban Community Services

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**Case Management Services** is part of the Supportive Housing Training Series. This training series currently includes eleven curricula providing best practices and guidance on supportive housing development, operation and services.

The full series is available for downloading from the Department of Housing and Urban Development website.

For more information:

**U.S. Department of Housing and Urban Development:** [www.hud.gov](http://www.hud.gov)

**Center for Urban Community Services:** [www.cucs.org](http://www.cucs.org)

**Corporation for Supportive Housing:** [www.csh.org](http://www.csh.org)

# HUD CURRICULUM

## CASE MANAGEMENT SERVICES

### **PURPOSE AND GOALS:**

This six-hour training offers service staff an introduction to the clinical skills needed to help tenants with special needs sustain themselves in supportive housing. A focus on the core elements of a helping relationship are reviewed, including building trust, setting goals, helping motivate tenants, using referral services and documentation. At the end of the training, participants will be able to identify their role in the helping relationship and increase their skills in providing optimal case management services for tenants of supportive housing.

### **AGENDA**

- I. INTRODUCTION** (20-30 minutes)
- II. ENGAGEMENT AND OUTREACH**
  - A. Defining Case Management (10-20 minutes)
  - B. Overview of the Helping Process (20-30 minutes)
  - C. Creative Engagement (20-30 minutes)
  - D. Open-Ended Questions and Reflective Listening (20-30 minutes)
  - E. Finding Common Ground (20-30 minutes)
  - F. Group Exercise (30-40 minutes)
- III. INDIVIDUAL GOAL SETTING AND SERVICE PLANNING**
  - A. Whose Goal Is It? (10-20 minutes)
  - B. Developing Goals and Objectives (20-30 minutes)
  - C. Other Considerations (10-20 minutes)
- IV. BUILDING MOTIVATION FOR CHANGE**
  - A. Interventions to Assist People in Making Changes (10-20 minutes)
  - B. Working with Ambivalence and Resistance (10-20 minutes)
  - C. Roadblocks to Listening (20-30 minutes)
  - D. Five Principles of Motivational Interviewing (10-20 minutes)
- V. MAINTAINING CASE RECORDS**
  - A. Documenting and Maintaining Case Records (10-20 minutes)
  - B. Developing a Service Plan (20-30 minutes)
  - C. Service Plan Case Studies (30-40 minutes)
- VI. CONCLUSION** (10-20 minutes)

## **HANDOUTS**

1. Agenda
2. Types of Services in Supportive Housing
3. Role of the Case Manager
4. Engagement Strategies
5. Engagement Process with People Who Have a Mental Illness
6. Exploration and Open-Ended Questions
7. Reflective Listening
8. Common Ground Role Plays
9. Engagement Case Studies
10. Principles and Skills of a Helping Relationship
11. The Process of Goal Setting
12. Using a Referral System
13. Assisting Tenants in Making Change
14. Reactance Theory
15. Roadblocks to Listening
16. Roadblocks Exercise
17. Motivational Interviewing
18. Maintaining Case Records & Documentation
19. Developing a Service Plan
20. Individual Service Plan Sample
21. Goal Setting Worksheet
22. Service Plan Case Studies
23. Bibliography

## **Trainer's Preface for Case Management Services**

### **I. Brief Summary of Curriculum Content**

This curriculum contains at least six hours of verbal content. This does not mean that all the content must be covered. Depending on the intended focus of the training and the format (exercises and small group discussions vs. large group presentation), portions of this training can be elaborated, abridged and/or deleted.

### **II. Trainer Qualifications**

Key to the successful delivery of the curriculum and participants learning is the qualifications of the trainer. What the trainer brings to the training session — including their knowledge about the subject being taught, their experience in supportive housing, and their training or teaching skills — will impact the quality of the training and the outcomes. This curriculum is intended for use by individuals with the appropriate constellation of talent and ability to manage the learning of others in addressing the issues of providing case management in a supportive housing project. The successful trainer will have worked in a supportive housing project.

### **III. Good Training Practice**

#### **A. How People Learn**

People learn through a combination of lecture, visual aids and participation. The more actively they are involved in the process, the more information they will retain. For this reason, eliciting answers from the group rather than presenting material is usually preferable. Additionally, it is important to include exercises that stimulate interaction and experiential learning and not spend all of the time lecturing. Be aware, however, that group participation and discussion takes more time than straightforward presentations and may cut down on the amount of content possible to cover. What is minimized or deleted from the curriculum should be based on the assessment of the group's learning needs and the goals initially contracted with the group.

#### **B. Know Your Audience**

The type of setting that the trainees work in and their roles will determine the areas of the curriculum that the trainer will focus on. Gathering as much information about the group beforehand is recommended. In order to create a safe and effective learning environment, it is recommended that the maximum number of participants not exceed thirty people.

### C. Introductions and the Training Contract

Introductions should provide the trainer with more information as to who the audience is. The trainer will want to know the person's name, their program and their role, and what they hope to get out of the training. The trainer should then clarify what will and will not be covered. This is the training contract.

### D. Acknowledge and Use Expertise of the Participants

This is important as it allows people to learn from each other, builds group cohesion, keeps people involved and establishes an atmosphere of mutual respect.

### E. Flexibility

Throughout the training the trainer should continually assess the needs of the group and revise the amount of time devoted to each specific topic. Responding to the needs and interests of the group must be balanced with the agreement to cover certain topics. It is the trainer's job to respond to the needs that arise while staying focused on the subject matter. For example, if some of the trainees want to focus on case management issues related to particular tenants, the trainer should assess to what degree this would be instructive for the entire group and to what degree it would detract from the overall presentation.

## IV. Training Content

### A. Sequence of Content

Depending on the area of practice of your audience (case management, clinical supervisors, building management), the trainer may want to tailor the sequence of the training starting with the areas most relevant to the audience.

Engagement and Goal Setting are topics of primary concern to the majority of trainees. Because maintaining case records can be anxiety provoking for many, it is important that the training not end with this topic. If the trainer is attempting to cover the curriculum in its entirety, it is optimal to begin the training in the order that it is written.

### B. Flexibility of Content

In this training, content areas that lend themselves to flexibility include Section II.C-FINDING COMMON GROUND. The exercise in this section can be elicited from the group in general or, if time permits, you can have trainees break into pairs to process.

DEVELOPING A SERVICE PLAN, Section IV.B., can be expanded to include a review of the "Goal Setting Worksheet Handout." This handout acts as an example and guide in developing a service plan but can be eliminated if the trainer is pressed for time.

FIVE PRINCIPLES OF MOTIVATIONAL INTERVIEWING, Section V.D., can be abridged by a quick review and referencing the handout for trainees.

Additionally, the trainer should expect to delve more deeply into clinical issues with an audience that is primarily service based, just as they can anticipate spending more time on establishing policies and procedures with a group comprised of building management. With a mixed group, the trainer should strive to attain a balance.

#### C. Personalizing Content

In order to personalize the training, it is important for the trainer to offer case examples or anecdotes regarding the topic. This can also be achieved by eliciting stories from the trainees' experience in supportive housing. Using these relevant stories will make the training more interesting and personal.

#### D. Matching the Content to the Target Audience

The target audience for this training is direct care social service staff. Supervisory staff should attend this training to gain knowledge and understanding of the information provided to staff under their supervision. Property management staff who would benefit from a basic understanding of what case managers do might consider attending this training as well.

### V. Time Management of Content

Each section of the agenda has time frames allotted. The trainer should be aware that if a great deal of time is devoted to one topic area, other content areas might be sacrificed. Group exercises can always be abridged if necessary for time's sake. For example, if the group exercise involves dividing into four groups to work on four separate cases, the trainer should consider having each group work on a smaller number of cases. This will shorten the report back time but will not eliminate the group process. Remember, elicitation and discussion takes more time than lecturing but less time than small group exercises. The trainer needs to balance this with the fact that lecturing is also the least effective way to learn.

The trainer will find that each time this curriculum is trained, it will vary. Being mindful of good training practice and making adjustments to the timing and sequence will allow for a tailored training that will be most beneficial to participants.

## I. INTRODUCTION (20-30 minutes)

**TRAINER NOTE:** This section includes an introduction of the trainer, a review of training incidentals (hours, breaks, coffee, and bathroom locations), and a review of the training goals and objectives. This is followed by a roundtable introduction of trainees.

### TRAINER STATES:

- This training offers an introduction to the clinical skills needed to help tenants with special needs to sustain themselves in supportive housing. Each supportive housing project is different, but there are some general types of services offered, including general support services, independent living skills, health- and mental health-related services, substance abuse services and vocational services.
- Building a positive relationship is key to providing these services. We will practice skills that can enhance this process, as well as address the need for boundaries and clarity.
- Often part of the case manager's role is to work with tenants on goals and to document this process. It is key that all goals and the process of meeting them, are developed by the tenant with the case manager as a support.
- This training will help case managers identify their role in the helping relationship and increase skills to optimally provide services to tenants.

**TRAINER NOTE:** Trainer will introduce him/herself to trainees, including experience in either supportive housing, case management or service delivery. Trainees are asked to introduce themselves by stating their name, agency, staff role and any area of case management they hope will be discussed. Trainer should write concerns and goals on flipchart. Trainer will link these goals as s/he reviews agenda. See **HANDOUT #1: AGENDA**. See **HANDOUT #2: TYPES OF SERVICES IN SUPPORTIVE HOUSING**.

**LEARNING POINTS:** Trainer is establishing the learning contract for the day. It is important to discuss what will and will not be covered during this introduction so that trainees know what to expect — this is the learning contract. If someone mentions something in the go round that is not on the agenda but related, see if it can be tied-in at an appropriate point in the training. Similarly, if the group is interested in exploring certain topic areas more in-depth, the trainer may decide to shift some topic content.

## **II.: ENGAGEMENT AND OUTREACH**

### **II.A: DEFINING CASE MANAGEMENT** (10-20 minutes)

**TRAINER NOTE:** This section includes a brief lecture and elicitation. See ***HANDOUT #3: ROLE OF THE CASE MANAGER.***

**TRAINER ELICITS:** WHAT ARE SOME OF THE ROLES OF A CASE MANAGER?  
[expected responses include:]

- Provide support
- Assist tenants identify and achieve goals
- Offer educational services
- Offer vocational services
- Counseling
- Support recovery
- Assist with socialization and recreational activities
- Manage crisis
- Build Activities of Daily Living (ADL) skills
- Assist with medication management
- Help build community

#### **BRIEF LECTURE:**

There are a number of definitions of case management services. Basically, case management services provide a single point of accountability for coordination of services. In supportive housing, case management services are designed to offer the tenant support in living independently and establishing and maintaining residential stability.

- Case managers help tenants achieve their goals and meet their needs through the provision of, or linkage with, a variety of services.
- They help people with special needs maintain housing.
- Case management services are comprehensive in nature to ensure a more effective service delivery but are tailored to the varying needs of the tenant.
- Services address the biological, psychological and social needs of tenants.
- Services include the documentation of services and progress.

In today's training, we are going to look at the many facets and roles of the case manager in supportive housing. Being a case manager calls for flexibility and creativity. Taking on such a variety of roles is quite challenging.

**LEARNING POINT:** Trainees will have a basic definition of case management.

**II.B: OVERVIEW OF THE HELPING PROCESS** (20-30 minutes)

**TRAINER NOTE:** Draw a wheel on flipchart and put the case manager as the hub of the wheel. The spokes point to "Day Programs", "Psychotherapists", "Psychiatrists", "Entitlements", "Vocational Training", "Education", et. al.

**BRIEF LECTURE:**

Imagine a wheel. If one of the services attached to the spoke is removed, the tenant will likely be able to continue functioning for some period of time, depending on which service. But, if the hub (Case Manager) of the wheel is removed, the entire system falls apart. It is really the role of the Case Manager to help hold all the systems in place that help the tenant to function in the community. Case managers do Whatever It Takes (W.I.T.)!

This helping process is vital in supportive housing. Knowing your role and your limitations is important in the helping relationship. As case managers, we want to see progress, but change can be a slow and gradual process. This can lead to frustration for both the tenant and worker. Today's training will offer some useful tools and help with developing skills to assist you in your work.

**LEARNING POINTS:** Trainees will understand that case management services are vital to the helping process.

**II.C: CREATIVE ENGAGEMENT (20-30 minutes)**

**TRAINER NOTE:** This section involves a substantial amount of eliciting. Trainer should write responses on flipchart. An alternate way to end this section is with a group exercise by having participants break into groups to list creative ways to engage a tenant, with each group reporting back to the large group. See ***HANDOUTS #4: ENGAGEMENT STRATEGIES; #5: ENGAGEMENT PROCESS WITH PEOPLE WHO HAVE A MENTAL ILLNESS.***

**TRAINER STATES:**

The roles of case managers seem endless. However, you cannot provide services unless you first engage the tenant. Let's begin our look at services by talking about engagement.

**TRAINER ELICITS:** THINK OF THE LAST TIME YOU MET SOMEONE NEW IN ANY SITUATION (CO-WORKER, DOCTOR, SALESPERSON, ETC.). THINK ABOUT WHAT MADE YOU FEEL SAFE, COMFORTABLE AND WANT TO OPEN UP OR, WHAT HAPPENED THAT MADE YOU UNCOMFORTABLE, CLOSED AND EAGER TO LEAVE? [Expected responses include:]

## FOR OPEN:

- Friendly
- Listen
- Maintain good eye contact
- Keep conversation light
- Respond to humor

## FOR CLOSED:

- Intrusive
- Talk too much
- Give too many opinions
- Lecture
- Pushy
- Analytical
- Too personal
- Demanding
- Too many jokes
- Stay too long

**BRIEF LECTURE:**

- Engagement is the process where we introduce the tenant to the service relationship, explain our role, and try to find a common ground to build on.
- Because a person has accepted tenancy in a building does not mean s/he accepts the role of "client".
- Engagement is a process, not an event. It does not happen overnight.
- What constitutes successful engagement will vary from tenant to tenant.

The engagement process with people who have a mental illness is enhanced:

- When worker develops a shared reality with tenant.
- When interaction is consistent.
- When worker allows tenant to exercise control in the interaction.
- When worker does not deny or "join" delusions.
- When worker communicates his/her role clearly.

**TRAINER ELICITS:** WHAT ARE SOME CREATIVE WAYS YOU HAVE ENGAGED TENANTS YOU WORK WITH? [Expected responses include:]

- accompany to appointments
- go to breakfast
- sit in lobby
- play games
- watch TV

**LEARNING POINTS:** Engagement is a process and builds over time. As we begin to work with tenants, our first task is to engage them in a helping relationship. Without a relationship we cannot be effective in delivering services. Some things will help them feel more open and others more defensive. Every tenant responds differently. Creativity in engagement is a vital tool.

## **II.D: OPEN-ENDED QUESTIONS AND REFLECTIVE LISTENING (20-30 minutes)**

**TRAINER NOTE:** Trainer should note that there is a quick built-in exercise that allows participants to recognize and identify open-ended vs. closed-ended questions. See **HANDOUT #6: EXPLORATION AND OPEN-ENDED QUESTIONS; HANDOUT #7: REFLECTIVE LISTENING.**

### **BRIEF LECTURE:**

In order to engage tenants, they must feel that you are interested in them and that they have a reason to work with you. Unless you are willing to explore who a person is, you will not be able to find common ground on which to focus the work. The kinds of questions you ask are important.

#### Open-Ended Questions:

- Establish atmosphere of acceptance and trust by defining your role as listener.
- Encourage the speaker to do most of the talking and explore his/her problem.
- Cannot be answered by a "yes" or "no" or other short answer.

**TRAINER ELICITS:** WHAT ARE SOME EXAMPLES OF CLOSED-ENDED QUESTIONS? [Expected responses include:] "Would you like to...?", "Can I...?", "Would it be better if...?", "Don't you think you should...?(can also sound judgmental)

**TRAINER ELICITS:** WHAT ARE SOME EXAMPLES OF OPEN-ENDED QUESTIONS? [Expected responses include:] "What's going on?", "How are you feeling about that?", "What is it that you would like to discuss?"

### **BRIEF LECTURE:**

"Reflective Listening" is a technique that you may be using already. It was developed by Carl Rogers. (A humanistic psychotherapeutic approach that focuses on empathic listening and "mirroring".) It helps hone your listening skills and challenges your inclination to offer dialogue or talk too much yourself. It is particularly effective as it allows the tenant to actively take part in building skills and coming up with solutions.

- Most statements have multiple meanings. Reflective Listening is a way of checking rather than assuming that you know what is meant.

- It helps people think things through on their own. They get to hear their own struggles. It raises self-awareness and helps people feel understood.
- When a person speaks, s/he is trying to communicate a meaning. This is often coded imperfectly into words. The listener has to hear the words accurately and then decode their meaning.
- The listener forms a reasonable guess as to what the person means and gives voice to this guess in the form of a statement.
- The speaker then has the opportunity to validate, elaborate or change what s/he meant.

**TRAINER STATES:** There are different levels of sustained reflective listening.

- Repeating: Repeat elements of what the person has said.
- Rephrasing: Stay close to what was said but substitute certain words or slightly rephrase what was offered to help clarify further.
- Paraphrasing: Offers a major restatement by reflecting back in new words, but not new meaning. This can help people add new words to their experience.
- Reflection of Feeling: Reflects back what person seems to be feeling.

Summarization is like reflective listening in that it helps a person follow through on his/her thoughts and elaborate or clarify what s/he is thinking. It also lets the tenant know that you “get it”.

**TRAINER ELICITS:** WHAT ARE SOME PITFALLS THAT WE CAN FALL INTO IF WE DO NOT EXPLORE THE TENANT’S ISSUES THOROUGHLY? [Expected response: We may make assumptions, jump to conclusions, move too quickly, and may sabotage our efforts to get meaningful work done.]

**TRAINER STATES:**

- Be mindful that certain tenants who are severely thought-disordered might be assisted in “containing” their anxiety or thinking by asking more closed-ended questions. Usually we would want to use a combination of both types.
- If the only thing we do is ask questions, it can be very intrusive for the tenant.

**LEARNING POINTS:** The tenant will likely feel more open, understood, and learn more about her/himself when asked open-ended questions. The worker learns more about the tenant when asking open-ended questions. Open-ended

questions allow the worker to explore an issue more fully. Reflective Listening challenges the worker's desire to offer advice and dialogue and helps develop listening skills.

## II.E: FINDING COMMON GROUND (20-30 minutes)

**TRAINER NOTE:** This section has a built-in engagement exercise that the trainer can choose to elicit as a group exercise or break the participants into small groups. Time constraints will determine which technique the trainer will use. See ***HANDOUT #8: FINDING COMMON GROUND ROLE PLAYS.***

### BRIEF LECTURE:

In order for the work to begin, the tenant and the worker must first come to some agreement about what the goal of the work is.

- The tenant and worker may have different ideas about what the central issue of supports needed is and/or what the priority for change is.
- In order to create an alliance with a person, we have to be in agreement about the work to be done.
- The worker must use empathic skills. A worker is empathetic when s/he pulls from his/her own life experience to understand, be aware and be sensitive to what the tenant is trying to communicate. S/he then reflects that understanding to the tenant.
- We must be aware of our own agenda, and willing to give up the notion that we can control someone else's life. (People do not take medication or stop using drugs because we tell them they need to.)
- The tenant must feel that they are working towards getting what they want.

All of our life experiences are different and no two people perceive the world exactly alike. Finding common ground can be difficult at times. Most of the time it won't be too difficult, but the worker will have to put his/her agenda aside and meet the tenant where s/he is at. You must learn to address the tenant's felt needs. A "felt need" is defined by what the tenant feels is a need as opposed to what the worker might simply see as a "desire". In responding to the person's felt need, we can more easily engage him or her and begin the process of forming a positive therapeutic relationship.

Let's look at some scenarios where we can practice finding some common ground with tenants.

**TRAINER NOTE:** In groups of two, trainees will take one case. One person will be the tenant and the other, the worker. The worker will try to find common ground to begin to work with the tenant.

## FINDING COMMON GROUND ROLE PLAYS

1. Augusta enters your office and states that a man has been floating in her room nightly. She adds that he told her he is going to run over her with his car. She seems frightened.

*Trainer key: Both tenant and worker are concerned about how frightened Augusta is. How to help her feel safer would likely be an area of common ground. Worker may want a psychiatric evaluation, but Augusta may not be ready at this time.*

2. Last year, James' mother passed away. Within the last three months, James has lost his two remaining brothers to AIDS. His hygiene has deteriorated and he refuses to shower. James tells you he feels very alone and has no hope.

*Trainer key: An area of common ground is to help James feel less lonely and depressed. Issues of safety must be addressed. Worker may encourage a psychiatric evaluation, which may not be what James wants at this time.*

3. Tara comes to your office with a black eye. She states that she got into an argument with her boyfriend and things got out of hand. Tara admits that she is afraid of him and doesn't know what to do but adds that they love each other and belong together.

*Trainer key: Finding ways to keep safe would seem like an area that both could work on. Worker may want to encourage Tara to leave her boyfriend, but that may not be a mutual goal at this time.*

4. Joel recently changed medication. He attends Bingo and towards the end of the group stands up and announces that his movements are being monitored by the Secret Service and then leaves. He returns a few minutes later asking you how long you've worked for the Secret Service.

*Trainer key: Joel probably feels very afraid. How he can feel safer may be the area of common ground. He may not be able to address his beliefs as delusional at this time.*

5. Rita has just returned from Florida where she visited her family. She states that while in Florida, she was visited by aliens and taken to another planet. She says that she is very frightened and adds that her family did not believe her.

*Trainer key: Again, helping Rita feel safer is what she and the worker can agree to plan for.*

6. Ralph confides in you that as a boy he had no friends. He adds that his father, an alcoholic, brutally beat him and on one occasion threw him out of a moving car. Ralph says getting high makes him forget these feelings and begins to cry.

*Trainer key: Ralph wants to "forget" these feelings. He wants to feel less pained. That would be the focus of the work.*

7. Elaine has repeatedly been seen intoxicated in the evenings. You request a meeting where Elaine tells you that in her youth she was a refined young lady and feels terrible about having to live in supportive housing.

*Trainer key: Both worker and Elaine want her to feel better about her self.*

8. Rachel has not paid rent for the last four months. She informs you repeatedly that she refuses to "feed the capitalist money machine." The management company is taking her to court.

*Trainer key: Is there common ground? Worker wants to try to find it. Perhaps not being homeless is important to Rachel. Are there mutually agreed upon ways she can feel more empowered?*

In some cases, it is easier to find common ground than in others.

**LEARNING POINTS:** Barring the need for an involuntary hospitalization (when a person poses a risk to him/herself or others), address the tenant's felt need and meet him/her where s/he is. Pushing your agenda will push the tenant away. Tenant must perceive the worker as helpful, or they have no reason to establish a relationship.

**II.F: GROUP EXERCISE** (30-40 minutes)

**TRAINER NOTE:** Trainer will divide trainees into groups from 3-6 in size. Each group is given a case to work with determining how they would engage this particular person. Process in large group. See **HANDOUT #9: ENGAGEMENT CASE STUDIES.**

CASE STUDY I: Celia is a 53-year-old, articulate woman referred by a Transitional Living Community (TLC), who has been living in your supportive housing project for about 4 months. While living in the TLC, she received on-site mental health services. Since moving in she has refused to connect to any mental health services stating that she is not mentally ill and scoffs at the idea. She has diabetes and hypertension and is receiving treatment for these illnesses. Celia is quite talkative. She particularly enjoys sharing stories about her life in the Dominican Republic, as well as her trips to NYC museums. When mental health issues are brought up, she appears frustrated and finds a reason to end the session. She frequently states that she is a "Golden Buddha" and was a master chef at the age of 3. Celia has not been on medication for the last 3 months.

*TRAINER'S KEY for Case Study I: Celia*

- *Take this time to develop a positive therapeutic relationship.*
- *Ask questions about the Dominican Republic or museums.*
- *Develop a day trip with her help to a museum for tenants.*
- *Engage her slowly on health issues (diabetes and hypertension).*
- *Not important to push meds now. Over time, integrate mental health.*

CASE STUDY II: Sarah is a 61-year-old woman who has been living in the supportive housing project for 3 months. She is one of the most fashionable tenants in the building and often comes up to show her outfits to staff. Although Sarah is very friendly, she presents as very reluctant to share any issues about her personal life. Over the last month, her hygiene has deteriorated and tenants in the building are complaining to staff that Sarah smells of urine. Over the last couple of weeks, Sarah has become more and more distant.

*TRAINER'S KEY for Case Study II: Sarah*

- *Discuss Sarah's recent distance from staff and community.*
- *Let Sarah lead you to the topic of hygiene (may be guarded).*
- *"Confronting" may undermine therapeutic relationship.*
- *Normalize topic of hygiene. Gauge Sarah's comfort level and allow for the option to temporarily close topic. Re-schedule new appointment.*
- *Provide gifts of toiletries and hygiene products.*
- *Explore the possibility of medical problem (incontinence) or de-compensation.*

CASE STUDY III: Joseph was referred from a church shelter and moved into the supportive housing project four weeks ago. He was referred with little documentation, and during intake he shared minimum information about himself. He did, however, state that he has had really bad luck with social workers. Joseph has avoided meeting with staff and missed many of his appointments. As part of your program policy, you must begin to develop a psychosocial but have minimal documentation. When Joseph finally does come meet, you ask him if he would mind if you asked him some questions about his life history. Joseph says that all he needs is help with his Medicaid Card, which he states is inactive.

*TRAINER'S KEY for Case Study III: Joseph*

- *Focus on Medicaid in this particular session.*
- *Ask what role he feels workers should play (explore ambivalence).*
- *Worker can add how she perceives her role and note common ground.*
- *Take Joseph out for breakfast or offer escort to Medicaid office.*
- *Take time to develop a positive therapeutic relationship.*
- *Slowly gather data. You can always write addendum to psychosocial.*
- *Explain clearly why, for whom, and who will see this info.*

CASE STUDY IV: Michael is a 40-year-old man, new to the supportive housing project, who was referred by a Transitional Living Community. His hygiene is poor, and in the short time he has been at the building, he has gotten into two verbal conflicts with other tenants. He will only spend five minutes with you at a time, is very polite and declines any offer of services, saying: "Thank you so much dear, but as soon as I get my problems straightened out at Columbia University, I'll be fine." He believes that he is President of the University as well as a physics professor. He is very frustrated that the security guards there will not allow him to use the library so that he can do the reading he needs to do to prepare his lessons.

*TRAINER KEY for Case Study IV: Michael*

- *Continue outreach and talking to him every time you see him.*
- *Identify areas that he is interested in (physics, teaching, library).*
- *Use open-ended questions regarding what these things mean to him.*
- *Explore areas of interest but do not affirm/explore delusional content.*
- *Engage around activities related to his interests (TV, articles, etc.).*
- *Help him get a library card.*

**LEARNING POINTS:** Respond to tenant's felt needs. Repeated, predictable patterns of interaction are key to developing this understanding and key to building trust so the services offered may be used. Non-threatening activity allows the tenant the opportunity to check out and get comfortable with the worker with no demands placed on them. Be aware of fears of closeness in

some people and respect boundaries. Focus the work on what is meaningful to the tenant.

### III. INDIVIDUAL GOAL SETTING AND SERVICE PLANNING

#### III.A: WHOSE GOAL IS IT? (10-20 minutes)

**TRAINER NOTE:** This section has a built-in short exercise that helps illustrate how important it is to set goals that are relevant to the tenant. See **HANDOUT #10: PRINCIPLE AND SKILLS OF A HELPING RELATIONSHIP;** **HANDOUT #11: THE PROCESS OF GOAL SETTING.**

**TRAINER STATES:** Just as engagement is an on-going task with tenants, so is goal setting. The main point in goal setting is to help people meet the obligations of tenancy and stay housed. When working with developing tenant goals, we want to be mindful that at times tenants may come up with goals that we feel are unrealistic.

**TRAINER ELICITS:** WHAT KIND OF GOALS DO YOU USUALLY HAVE FOR TENANTS? [Expected responses:] medication compliance, shower, get sober

**TRAINER STATES:**

- Often, we say tenants are in denial or resistant when they don't want to work on the goals we set for them. Goals must be related to what the tenant wants or they will not be achieved.
- Even if a tenant's goal seems unrealistic the steps necessary to achieve it are often the same as what the worker wants. We can often work with people without saying whether or not we think the goal will be achieved. In this way we can help people to grow in a positive direction.

**TRAINER NOTE:** Example of this type of goal: A tenant wants to regain custody of her children who were taken from her nine months ago due to neglect. She is psychiatrically unstable, has poor hygiene and is unwilling to accept treatment of any kind. The goal of reunification at this time is big, but the worker can explore with the tenant what is needed in order to reunify with her family. The small steps that can emerge (for example: improved hygiene) must always relate to the tenant's goal. In this scenario a small agreed upon step might be that the worker can call child welfare to find out more information. The next agreed upon step might be that the worker helps the tenant to find and choose a lawyer. These are the kinds of steps that empower the tenant and build trust. Eventually, issues such as hygiene and psychiatric stability may be able to be worked on as they are connected to the person's long-term goal. The person may or may not eventually get her children back, but her self-esteem and mental health will be improved, and she will have a trusting relationship with someone who can help her work with some of her profound feelings of loss. This process is a long one and involves many steps, all of which are linked to the tenant's stated goals.

**TRAINER STATES:** Someone may be doing very well and for reasons we cannot understand they may revert back to old ways or sabotage something they have been working towards. People avoid changing for many reasons. We need to consider the secondary gains associated with someone's current circumstances.

**TRAINER NOTE:** Example—Socialization involved in drinking

Even though we work with many people diagnosed with schizophrenia, we often forget about the negative symptoms including problems in executive functioning, blunt affect, cognitive deficits and disorganized thinking. These negative symptoms can make it hard to impossible for people to organize themselves towards a goal and stay focused on it

**TRAINER NOTE:** Group Exercise: Break into dyads. One person should try to talk about a real goal he or she has. Their partner should try to convince the first person that the goal is not realistic and is unacceptable, that in their own best interest they should focus on this other goal that you have set for them. Offer to help them to meet the goal that you have set. Discuss how this felt for both parties.

**TRAINER ELICITS:** HOW DID YOU FEEL WHEN THE WORKER WAS NOT ACCEPTING YOUR GOAL AS VALID? [Expected responses include:]

- Frustrated
- Invalidated
- Angry
- Felt like a child
- Closed down

**LEARNING POINT:** Goals should be tenant driven. Along the way, problems will come up and worker will have an opportunity to assist with re-establishing goals. The investment in completing a goal is greater if the steps focus on what the tenant wants. The role of case management is a partnership with the tenant in goal setting.

### **III.B: DEVELOPING GOALS AND OBJECTIVES** (20-30 minutes)

**TRAINER STATES:** When discussing service plans, we often hear the words “goals” and “objectives”.

**TRAINER ELICITS:** WHAT’S A GOAL? WHAT’S AN OBJECTIVE? [Expected responses include:]

- **GOAL:** A goal is a statement of a desired intended general outcome.
- **OBJECTIVE:** Objectives are the observable and measurable steps to be taken by the person toward the completion of the goal.

**TRAINER ELICITS:** WHAT’S THE DIFFERENCE BETWEEN A GOAL AND AN OBJECTIVE? [Expected response includes:]

A goal is a general result (e.g., Tenant will maintain positive mental health). To achieve and maintain this, there are objectives, or stepping stones, the tenant must make (e.g., meet with psychiatrist monthly, take medication as prescribed daily, attend weekly mental health group, attend day program daily, meet with case manager weekly). For most of us changes are incremental.

**TRAINER ELICITS:** WHY IS IT IMPORTANT TO IDENTIFY OBJECTIVES WITH THE TENANT WHEN DEVELOPING GOALS? [Expected responses include:]

- Achieving small steps can be recognized as progress.
- Steps can be celebrated as successes independent of long-term goal.
- Obstacles can assist in re-thinking steps needed to achieve long-term goal and still maintain long-term goal.
- Process can assist in gaining insight as to the objectives needed.

#### **BRIEF LECTURE:**

Let’s look at a Goal: “Tenant will find supportive employment in six months.” This is a realistic goal for some tenants. The type of employment will obviously depend on the tenant and his/her special needs and skills. But there are some basic objectives that apply to many tenants.

**TRAINER ELICITS:** WHAT ARE SOME OBJECTIVES THE TENANT AND WORKER MIGHT FEEL ARE NEEDED TO ACHIEVE THIS GOAL? [Expected responses include:]

- attend pre-vocational group
- purchase clothing appropriate for work
- prepare resume and practice interviewing
- discuss areas of employment concerns with case manager (this may lead to other objectives)

**LEARNING POINT:** Goals and Objectives are distinguishable based on the individual. Goals are general and long term. They offer overall guidance for the plan. Objectives are the steps that the tenant will take in order to accomplish the goal.

### **III.C: OTHER CONSIDERATIONS (10-20 minutes)**

**TRAINER NOTE:** This section begins the discussion on maintaining case records. It is in this section because of its relevance to goals but can be moved into the next section of this curriculum. See ***HANDOUT #12: USING A REFERRAL SYSTEM.***

#### **BRIEF LECTURE:**

A standard rule in setting goals with a tenant is to specify the INTENDED OUTCOME OR GENERAL CONDITION that will result from the accomplishment or maintenance of the goal, keeping the tenant as the subject.

- Phrase the goals accurately. Begin each statement with: The tenant will... (followed by what is to be done). The case manager should not be mentioned directly or implied in the goal statement. An example of a mis-stated goal is "to help the tenant acquire interviewing skills for employment." It implies that the case manager has the goal or objective. To re-state as tenant-directed goal, it can read: "(Name) will learn interviewing skills for employment."
- Identify only one goal and condition per statement. In developing goals, it is important to develop each one separately and not to compound goals.
- Focus on positives. When working with the tenant in developing goals, try to present them in positive terms whenever possible. This can change the whole perspective and motivation for the tenant in achieving them. Help the tenant restate the goal to something positive. Most problems are presented as a negative and tend to dominate most service plans.

**TRAINER NOTE:** "Tenant will not argue with his neighbor" (negative) vs. "Tenant will develop good relationship with his neighbor" (positive)

#### **BRIEF LECTURE:**

Some crucial things to remember about the process of goal setting are:

- It is a mutual task; tenant and case manager should act as a team. The case manager interventions are the strategies, methods or activities done with the tenant to help her or him reach her/his objectives.
- Exploration and listening skills are used throughout the process.

- It is an individual process. One person's short-term goal may be another person's long-term goal.
- The steps must be achievable. The idea is for the tenant to succeed.
- For each objective, try to determine if anything stands in the way. Any obstacles become another step and that step is now the short term goal.
- The plan should include a realistic time frame (One week, 3 days, etc.).
- If the goal is not reached, it should be framed as the fault of the goal, not the person. Gives us new information and opportunity to choose a better one.
- Achievement of a goal, no matter how small, should be positively reinforced.

### **BRIEF LECTURE:**

When determining how goals and objectives will be met and supported, the case manager will assess if the service or support will be provided on-site or off-site. Ideally, a program is able to provide as many services as possible but still optimally use outside referral resources. Working in collaboration with existing community services is vital.

Some considerations regarding a good referral system:

- Share resources between staff. There is no reason to re-invent the wheel when using outside services. Often, other staff members have already found competent services that can be used as a referral agency. Staff should also share how effectively these agencies worked in the past.
- Integrating into the community can widen the availability of resources. Invite community representatives from the police, fire department, medical and mental health organizations to the building for community meetings. Get to know the mobile crisis teams in your area. Send literature on your housing to referral sites. If possible, offer community space to area agencies and organizations in need.
- Integrate resource sharing into the programmatic design at your site. This can include an in-house log of resources that staff maintains, a community rolodex with important numbers and contact persons, as well as tenant input on the quality of services offered by referral agencies.
- Be mindful that contact between your site and the referral site should be done only when a consent form has been signed by the tenant. Be sure to have releases (consents) signed by tenants for active and consistent communication between case management and referral site. A standard

release of information guideline will assist case managers to always be current with release information.

- Maintain regular contact with community-based services and include them in the process of developing a service plan. Be sure to document all salient information received or given to referral agency.
- It can be helpful to provide as many services on-site as possible. This will ensure that the support and services are consistent with the tenant's needs and it minimizes duplication of services and breaks in continuity. However, one may not want their home to feel like a "program."

**LEARNING POINT:** Goals should be developed with the tenant and be tenant-directed. Goals and objectives should be clear, succinct, attainable and reinforced. Goals and objectives should consist of one topic. A good referral system in the delivery of support services is vital to assist with meeting goals and objectives.

## **IV. BUILDING MOTIVATION FOR CHANGE**

### **IV.A: ASSISTING TENANTS IN MAKING CHANGE (10-20 minutes)**

**TRAINER NOTE:** This section addresses helping tenants work toward change. The focus on developing a positive therapeutic connection and building trust is paramount, and when possible, link this back to engagement. See ***HANDOUT #13: ASSISTING TENANTS IN MAKING CHANGE.***

#### **BRIEF LECTURE:**

In helping people make changes, there are some basic tools that are useful in case management.

- **Build Trust:** Be consistent, trustworthy and honest.
- **Know the Person:** It is impossible to assist someone in reaching goals or making changes if we don't know them and what motivates them. Goals must make sense and be relevant to the tenant.
- **Assist in Cognitive Restructuring:** Help people recognize and identify self-defeating thoughts and messages.
- **Learn to Recognize and Identify Emotions/Physical Sensations of Anxiety (e.g., nausea, tightness in chest, and rapid heartbeat can be signs of anxiety and fear):** Identifying these emotions and feelings can help tenants learn to control them so they do not interfere with his/her ability to take risks.
- **Assist in Preparation:** Help people plan for and anticipate what to expect.
- **Teach Visualization Skills:** Help people imagine themselves completing steps and reaching their goals. Ask to visualize details of the situations – how they feel, what they are thinking, how they overcome obstacles along the way.
- **Assist in Goal Setting:** Help plan and anticipate steps, obstacles, feelings, resource needs and offer support during the process. Explore positive and negative effects of achieving desired goals and the steps to reaching them.
- **Provide Support:** Highlight coping skills that will help tenant through this process. Help develop coping mechanisms to deal with setbacks or losses. Acknowledge small steps. Celebrate accomplishments.
- **Establish a Contract or Agreement:** Services are designed to help people remained housed and stable, and to help meet their intended goals. It is helpful to spell out exactly what services you offer to assist in reaching their goals.

**LEARNING POINTS:** Trainees will have a better understanding of the importance of developing a trusting connection with the tenant. Trainees will understand the process of helping a person move toward change.

**IV.B: WORKING WITH AMBIVALENCE AND RESISTANCE** (10-20 minutes)

**TRAINER NOTE:** Trainer should have Reactance Theory definition and the list of tools to decrease resistance on a flipchart. See **HANDOUT#14: REACTANCE THEORY.**

**BRIEF LECTURE:**

Reactance Theory helps to predict how people respond to the perceived loss of valued freedom. Reactance Theory states that it is natural for people to try to maximize control and choice. Tenants are sometimes resistant to treatment and/or worker intervention because:

- They are afraid the worker will tell them what to do and use their power to make them do it.
- They do not want to be controlled or lose the right to make choices.
- We usually see resistance as negative and part of one's illness. These responses are actually understandable, not pathological. The person is trying to maintain their independence/freedom.

When working with a tenant who is resistant, there are some basic skills and tools that are useful. The worker may be able to minimize tenant resistance by:

- Avoiding telling the tenant what to do and, instead, present options. It is preferable to state the most positive option last.
- Exploring both sides of an issue. One-sided focus increases reactance.
- Presenting options for change in matter-of-fact manner so that the person does not feel like they need to react to your over-investment.
- Addressing one specific problem at a time.
- Working with the tenant wherever s/he may be at along the spectrum of change.
- Providing feedback in a non-judgmental "matter of fact" way (e.g., "Whenever you spend time with Joe, I notice you get down on yourself.").
- Avoiding the demand that a person be aware of the need to change.

- Helping tenant in a cooperative manner to set his/her priorities and timelines for addressing them. Avoid a hierarchical position in setting priorities.
- Assisting in integrating other in-place support systems into the tenant-driven priorities (e.g., family, friends, and day program).

**LEARNING POINT:** By understanding what motivates certain behavior we can become more effective at helping people to change. What is often seen as “resistance” may actually be a very understandable response to feeling a lack of freedom.

## IV.C: ROADBLOCKS TO LISTENING

**TRAINER NOTE:** Trainer should have flipchart with the various roadblocks listed. Flipchart should not include definitions. Trainer can elicit these from trainees. See ***HANDOUT #15: ROADBLOCKS TO LISTENING; HANDOUT #16: ROADBLOCK EXERCISE.***

### BRIEF LECTURE:

In order to understand where someone's ambivalence lies, we must listen. We don't want to push one side of the argument. We need to be very skilled at listening. It has been shown that good listening skills are the most effective way to help someone come to their *own* decision.

Often, we think we're listening but we are actually presenting our own viewpoint and setting up barriers to listening. Most of us, unknowingly, set up "roadblocks to listening." Specific "roadblocks" were identified by Thomas Gordon, in his book, *Parent Effectiveness Training (PET)*. Let's look at some now and see how they cut off or block a person's exploration of their feelings, thereby inhibiting their ability to come to a decision and resolve their ambivalence. Review your handout titled "Roadblocks to Listening."

- **DIRECTING:** May give message that the tenant's own judgement or competence is not trusted. This discourages tenant's ownership to change (e.g., "Don't do it that way. It's better if you...what you need to do is...").
- **WARNING:** Creates fear or submission. Compliance is usually time-limited and the tenant can feel infantilized (e.g., "If you don't change, you'll suffer the consequences or end up dead.").
- **MAKING SUGGESTIONS:** May give message that the tenant is not competent or judgement is not trusted. It can also suggest that you don't understand the depth of their problem (e.g., "Why not give me your check, then we can budget your money?" or "What do you think about...?").
- **PROVIDING SOLUTIONS:** May suggest issues about tenant's own judgement or competence. The tenant may not want to hear solutions (e.g., "I've done this before, all you need to do is...").
- **PERSUADE WITH LOGIC:** What's logical to us may not be to the tenant (e.g., "You need to stop drinking. Studies show that alcohol damages your liver.").

- **SHOULD**S: People often know what they “should” do. Using “should” can be infantilizing and implies that the tenant’s judgement and competence is not trusted (e.g., “If you asked me, you should...” or “You should just...”).
- **LECTURING**: Like “shoulds”, lecturing can make a tenant feel like a child (e.g., “How many times do I have to tell you? Whenever you go out and get drunk you end up...”).
- **DISAGREEING**: It’s a natural response for disagreements to increase the “other side” of the argument. Remember the reactance theory (e.g., “You think what? I think you’re wrong! How did you arrive at that brilliant idea?”)?
- **APPROVING**: If we approve of something the person is ambivalent about, they may act out in the opposite manner (e.g., “Very good idea. I’m so proud of you!” or “You stayed sober the whole day!! That’s *my* client!!”).
- **SHAMING**: Shaming is never helpful; people resent labeling (e.g., “Look at you! You’re a mess! Do you really want others to see you like this...*again!*?”).
- **ANALYZING**: Giving an unsolicited interpretation can be tremendously invalidating (e.g., If tenant says, “I’m really tired.” a bad response may be: “I think that your fatigue is really a mask for something else.”).
- **REASSURING**: Helpful but can convince tenant they are not understood. Person may feel, “You wouldn’t say it’s OK if you know how scared I was.” (e.g., “Don’t worry, it will all work out. It may seem hard, but you can do it”).
- **WITHDRAWING**: Sometimes our own discomfort motivates us to withdraw. This sends the message to the tenant that we are not invested, and s/he may not bring us their feelings (e.g., “Let’s not talk about that now.” or “I have to go right now.” or “I can’t talk right now.”).

We are not saying that there are *never* situations that call for use of responses such as some of the “roadblocks” (e.g., directing, making suggestions). If a tenant requests information about obtaining a new Medicaid card, providing direction is obviously helpful. We *are* saying that when the focus of our work is to be *listening*, we do not want to use roadblocks. Remember to watch a person’s level of resistance: If going up, chances are, we’re using “roadblocks”.

**TRAINER NOTE:** Trainer may use the following exercise to illustrate “roadblocks”. Break into dyads. One person is the worker and the other the tenant. The tenant will talk about something s/he feels two ways about (ambivalent) from the handout list. The tenant will try to communicate to the worker the inner turmoil s/he feels around this decision-making process. The worker will use as many “roadblocks” as possible. Switch roles and repeat. Process feelings and find out if any trainees found some roadblocks coming “naturally”. This is usually a very funny exercise, resulting in a lot of laughter. Be sure that participants follow the request to use only roadblocks in their role play.

**LEARNING POINTS:** Roadblocks often mean that, instead of listening, we are keeping quiet long enough to think of a response (our “pearls of wisdom”). Roadblocks actually cause people to stop talking. This stops their own problem-solving process, as they have to formulate a response to our “stuff” (our thoughts, beliefs, opinions, feelings and values). Roadblocks can make a person feel shame, reduce self-esteem, defensive, anger and resentful.

#### IV.D: MOTIVATIONAL INTERVIEWING (10-20 minutes)

**TRAINER NOTE:** The following definition is from the book, *Motivational Interviewing: Preparing People to Change Their Behavior* by William Miller and Stephen Rollnick. See **HANDOUT #17: MOTIVATIONAL INTERVIEWING**.

##### BRIEF LECTURE:

Motivational Interviewing is a particular way to help people recognize and do something about their present or potential problems. It is particularly useful with people who are reluctant to change and ambivalent about changing. It is intended to help resolve ambivalence and to get a person moving along the path to change. There are five basic principles, including:

- 1. Express "Accurate Empathy": This is not the kind of empathy where we try to identify with the person; rather, we are trying to understand the specific meaning of what the person is saying, without judging, criticizing or blaming. Accepting and not judging does not equal agreement or approval. Feeling accepted builds an alliance. Acceptance lowers defenses and makes people more open. Trying to "make" people change creates resistance and refusal. Acceptance of who one is allows them to be free to change.

**TRAINER NOTE:** e.g., Tenant states that the only time he feels like he can speak up for himself is when he has been drinking. Accurate empathy might sound like, "So, the only time you feel comfortable sharing what you feel is when you drink."

- 2. Develop Discrepancy: By listening patiently, we can begin to help the person see the discrepancy between their present behavior and their goals. Gaining insight into discrepancy can help gain motivation to change. This takes time and it means having to remember what is said. In each meeting with the person, the case manager is working actively to create discomfort and discrepancy. Telling someone what we see does not make the insight theirs and will likely raise defenses. It should be the person him/herself who will begin to feel safe enough to voice the concern. We still provide feedback and advice where appropriate.

**TRAINER NOTE:** Tenant states she drinks because nobody in the building respects her. Developing discrepancy might include, "I'm not sure what you mean. Last month, when you remained sober for three weeks, you said that people in the building were friendly and treating you well. In fact, you stated how much better you felt treated." (This kind of dialogue should be non-judgmental or accusatory, but rather, concerned and puzzled.)

- 3. Avoid Argumentation: Arguing is a trap that not only leads to negativity, but can also destroy the alliance we have worked on. Arguing increases defensiveness. When defenses are up, openness is down.

**TRAINER NOTE:** Make reference to reactance theory and resistance. Also, remind trainees that an argumentative stance can translate to strengthen the opposing view. The harder you push, the greater the resistance.

- 4. Roll with Resistance: Resistance is not bad. It is normal; to be expected. It gives us insight to guide the work. When we view it this way we simply go with it and don't fight it.

**TRAINER NOTE:** e.g., The tenant states, "Drinking is not really my problem, it's that when I visit my family, they drink." The worker doesn't push the person to admit he has a problem. S/he simply reflects back what was said.

- 5. Support Self-Efficacy: Hope, optimism and self-esteem are needed for change. We want to use every possibility to build a person's belief that they are good and that change is possible. Reframe failures. How could you reframe many relapses or psychiatric hospitalizations? (Tried many times, didn't give up, let's figure out what didn't work, etc.)

**TRAINER NOTE:** Because change is a process, often long, we need to use every achievement [even the smallest] as an opportunity to increase self-esteem. Additionally, new studies indicate that one of the most valuable supports to people is "hope". Tenants use hope to build upon their belief that change is possible and that they have the ability to change.

**LEARNING POINT:** Each person possesses a potential for change. As support people we can facilitate the natural change process already inherent in the individual. Motivational interviewing frees people from the ambivalence that entraps them. More than a set of counseling techniques, it's a way of being with tenants, treating them with respect and as an ally.

## V. MAINTAINING CASE RECORDS

### V.A: DOCUMENTING AND MAINTAINING CASE RECORDS (10-20 minutes)

**TRAINER NOTE:** Trainer should write feedback from trainees on flipchart and reference handout at end of section. See **HANDOUT #18: MAINTAINING CASE RECORDS & DOCUMENTATION.**

#### BRIEF LECTURE:

When supportive housing was first piloted, the mission was to house individuals safely. The services were not clearly defined and have evolved as providers and funders learned more about the needs of this type of housing. One of the most significant areas service providers and funders needed to look at is documenting and maintaining case records.

**TRAINER ELICITS:** WHY IS DOCUMENTATION IMPORTANT? [Expected responses include:]

- Provides quick access to salient information relevant to tenant in case of crisis. Often a Xerox of a face sheet can provide crucial information for EMS, hospital or crisis staff.
- Assists with continuity of support service between all staff. When a tenant is provided services from more than one staff member, it's vital for each to have a current record to assist with optimal interventions.
- Allows for continuity of support when any given worker is not present. If a case manager is out sick or on vacation, back-up staff can quickly reference medication information, appointments and other important data.
- Acts as an official record of progress and accomplishments or lack thereof. Maintaining case records is an excellent barometer of movement toward accomplishing goals and objectives.
- Can be used as a tool to tailor support services to the needs of a tenant. Over a period of time, a case manager may be able to see patterns of ineffective interventions and support and better assess services needed.
- Can be used as an accurate history of crisis patterns. Often, tenants may experience crisis on anniversary dates, holidays and birthdays. Patterns can be easily detected if case records are maintained effectively.
- Enhances the quality of service delivery. With heavy case loads, referencing case records can assist case managers in the delivery of service.

- Ensures that compliance with audit standards is followed. Funding sources audit case records regularly to ensure that guidelines are being followed and that the quality of service delivery is optimal.
- Encourages follow through with goals and objectives. Well-documented case records will indicate past accomplishment that may assist the tenant with issues of self-efficacy and motivation to achieving current goals.

**BRIEF LECTURE:**

Maintaining case records with information from the tenant and on-site staff can be difficult enough. When you are also using community agencies, documentation takes on an added dimension. There are some important considerations tied to this process.

- Consent Forms (a.k.a. Release of Information Forms) must be signed by the tenant authorizing contact between your program and the community agency.
- Request any important documents from the community agency for your records once the release is signed. Consent forms can be used for both verbal and written contact.
- Normalize the consent form process by introducing it during the intake and orientation process. Tenants are more willing to comply with consent forms if it's perceived as a normal part of the support system in place.
- Consent forms are time-limited. Be aware of renewal dates in your case records and have new consents signed consistently.
- If a tenant is unwilling to sign a consent form, document the attempts to ensure that a request was made.

**LEARNING POINT:** Case records are an integral component of support services and enhance the quality of service delivery. Documenting off-site service information is an important part of the case records. Consent forms are key to insure communication between programs.

**V.B: DEVELOPING A SERVICE PLAN** (20-30 minutes)

**TRAINER NOTE:** Trainer should write down the responses to the elicited questions on a flipchart. Trainer may decide to have a pre-written flipchart page with the most significant points of the service plan to review. Trainer also has the option of reviewing the Goal Setting Worksheet (handout) with trainees to illustrate the service plan concept. See ***HANDOUT #19: DEVELOPING A SERVICE PLAN; HANDOUT #20: INDIVIDUAL SERVICE PLAN SAMPLE; HANDOUT #21: GOAL SETTING WORKSHEET.***

**BRIEF LECTURE:**

Part of any case management plan is to document Goals and Objectives. Service Plans (a.k.a. Treatment Plans, Life Plans) are different for each tenant. Let's take some time out to look at how and why we develop service plans.

**TRAINER ELICITS:** WHAT IS THE PURPOSE OF THE SERVICE PLAN? [Expected responses include: an ongoing process of identifying Goals and Objectives to use as a guide for progress towards a positive and attainable life plan]

Some considerations in developing a service or treatment plan include:

- The Service Plan is an ongoing process throughout a tenant's stay in your housing program.
- The choices of the tenant are central to the Service Planning process. It is considered a tenant-driven activity.
- It is important to use tools to enable you to write the plan as such. Some of these tools include engagement techniques, listening, using tenant's own words, and helping to re-define success.
- The Service Plan identifies the needs forming the basis of the Goals and Objectives along with the methods/services that will be used to attain them.
- The Service Plan should indicate time frames and who will do what.
- The Service Plan indicates strengths and assets relevant to achieving the stated Goals and Objectives.
- The Service Plan identifies the extent of the tenant's desire and motivation to change.
- Be sure to check your regulations for requirements regarding service plans.

**TRAINER ELICITS:** WHAT IS THE PURPOSE OF A SERVICE PLAN REVIEW?  
[Expected responses include:]

- The purpose of the review is to evaluate the tenant's progress toward meeting Goals and Objectives in Service Plan.
- Describes the outcomes and achievements [be mindful to note small objectives completed]
- A tool to document need for revisions of current Service Plan
- Review plan with tenant regularly, usually on quarterly or bi-annual basis.

**TRAINER ELICITS:** HOW DO THE PROGRESS NOTES RELATE TO THE SERVICE PLAN? [expected responses include:]

- The purpose of the Progress Note is to record the services staff provides.
- Describe any significant events that have occurred, which relate to the tenant's progress towards meeting the Goals and Objectives of the Service Plan.
- Document changes in Goals, Objectives and methods/services of the Service Plan, as indicated.
- Minimum time frames for progress notes vary from program to program; however, progress notes should be completed when staff provides services to the tenant or when any significant event occurs.

**TRAINER NOTE:** Trainer may use the Goal Setting Worksheet Handout to illustrate the concept of setting Goals, Objectives, Tenant Participation and Worker Participation in the Service Plan process. Trainer should have trainees read along with the example and then come up as a group with new Goals, Objectives and responsibilities. This worksheet may assist trainees with the following exercise. Remind trainees that there is also a blank sample Service Plan for them to review as well.

**LEARNING POINTS:** Trainees will have a better understanding of the purpose of a Service Plan and a Service Plan Review. Trainees will have a better understanding of the role of progress notes to the Service Plan.

**V.C: SERVICE PLAN CASE STUDIES** (30-40 minutes)

**TRAINER NOTE:** Break trainees into groups of five or six each. Depending on time, each group can work on 1, 2 or 3 case studies. Each group should assign a recorder and reporter. At the end of the exercise, each group's reporter can present to the larger group. See **HANDOUT #22: SERVICE PLAN CASE STUDIES**.

**BRIEF LECTURE:**

Review the case study(s) assigned to your group and help determine what goals and objectives (Service Plan) you would develop for the tenant. List the goals and objectives or steps needed to attain these goals on flipchart. Obviously, if we had the tenant here, we would get input from them.

1. Bob has been living in his apartment for about a year. For the last six months, he's been drinking heavily and has been involved in several fights, some involving weapons, while intoxicated. When he's sober, he's an outgoing, intelligent man with an impressive work history as a plumber. Bob, a father of three, says he wants to have the right to visit his children again, a right taken away after he involved the children in a DWI car accident five years ago. He also wants to get back to work, but says he can't stand working for corrupt bosses anymore.
2. Jill does not want to live in supportive housing and shows contempt for the service staff. "Work with the crazies and leave me the hell alone." Jill wants to move into a luxury apartment building with celebrity tenants. Jill hasn't worked in more than fifteen years and spends the majority of her time involved in law suits against various landlords and people whom she says have wronged her. "I'll get a job as soon as I finish my legal work," she's been heard telling other tenants.
3. April, a new tenant in the building, tells her case worker she has no goals at all. She wants to be left alone to read and write and nothing more. April receives home relief benefits and has ignored notices about re-certification.
4. Ed has a number of medical conditions requiring a complex medication regime. It can take over an hour to take the morning dosages and many make him throw up. He's understandably tired of taking the medications, and despite his doctor's warnings, he says he's discontinuing everything. When he was feeling better, Ed enjoyed attending concerts, art shows, and other artistic events in the community. He once helped the residence set up an art show made up of both tenant and community artists' work.

“I just want to feel normal again,” Ed told his case worker, “and I know I never will”.

**TRAINER KEY:** *For each of these case studies, trainees should assess what the tenants needs might be and determine what some of the steps will be to reach those needs and/or goals. Each scenario will play out differently depending on the group and their interpretation of the cases. The trainer should re-emphasis the importance of allowing the tenant to determine those needs and/or goals. The worker’s role is to help identify the objectives and plans on reaching that end.*

**LEARNING POINT:** Trainees will practice developing service plans based on information from training and tenant’s needs from case studies.

## **VI. CONCLUSION** (10-20 minutes)

**TRAINER NOTE:** Bring closure to the training by reviewing the highlights of the day. Ask for questions and comments about the content.

### **BRIEF LECTURE:**

Let's review some of what we learned today.

- We began by looking at how important the engagement process was in order for you to provide effective case management.
- This includes creative engagement techniques, reflective listening and knowing how and when to ask open-ended questions.
- The most important component of the engagement process is finding common ground with the tenant.

**TRAINER ELICITS:** WHAT WERE SOME OF THE MAIN POINTS WE DISCUSSED REGARDING GOALS AND OBJECTIVES? [Expected responses include: goals are general, objectives are the steps needed, must be tenant-desired goal]

- We reviewed a number of reasons why case records are so important.
- We developed some tenant-tailored service plans.

**TRAINER ELICITS:** WHAT IS THE MAIN POINT OF REACTANCE THEORY? [Expected response includes: people want to maintain control of their own lives].

- We reviewed the "Integrated Service Model", or what some refer to as comprehensive service. Regardless of what model your program uses, it is important to realize that having a good referral system is necessary.

**LEARNING POINT:** Trainer will review significant points of the training and clarify any remaining questions.